



DOCKET NO. A18306896.01/MSFTP560US

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re patent application of

Applicant: **Joshua T. Goodman, et al.**
Serial No.: **10/779,295**
Filed: **February 13, 2004**
For: **INTELLIGENT QUARANTINING FOR SPAM PREVENTION**
Art Unit: **2134**
Examiner: **Unknown**

SUPPLEMENTAL INFORMATION DISCLOSURE STATEMENT

Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

Sir:

1. Pursuant to 37 C.F.R. 1.97 and 1.98, and in compliance with 37 C.F.R. 1.56, the Office's attention is directed to the patents, publications and other information listed on the attached PTO-1449. A copy of each listed document is enclosed except for: (a) pending applications or (b) those previously cited or submitted to the Office in the following application(s) upon which this application relies for an earlier filing date under 35 U.S.C. 120:

Serial No.: _____
Filing Date: _____

Regarding any document, publication or other information for which a date is not given on the attached PTO-1449, Applicant(s) believe(s) the same may qualify as "prior" art to this application and should be treated accordingly, although Applicant(s) reserve(s) the right to contest the prior art status of any document, publication or information, should issue arise.

2. Regarding each listed document that is not in the English language, an English-language translation accompanies this Statement as indicated on the attached PTO-1449 or a concise explanation of the relevance of the document is set forth in the following document(s):

- (a) ☐ Copy of each English language version of a search report indicating the degree of relevance found by the foreign office of each document being submitted from the search report.
- (b) ☐ Attachment entitled "Concise Explanation of Relevance of Non-English Language Documents".

3. Pursuant to 37 C.F.R. 1.97(b) this Statement is being filed (one must be checked):

- (a) ☒ Within 3 months of the filing date or date of entry into the National Stage.
- (b) ☐ Before the mailing date of a first Office Action on the merits. If this Statement is not filed before the mailing date of a first Office Action on the merits, the required certification is given below or, in the

absence thereof, the Office is authorized to charge the required fee set forth in 37 C.F.R.
(c) ____ After the period set forth in 37 C.F.R. 1.97(b) but before the mailing date of either a final action or a notice of allowance.

(1) ____ The required certification is given below, or

(2) ____ Enclosed is a check covering the fee set forth in 37 C.F.R. 1.17(p) for consideration of this Statement.

(d) ____ After the mailing date of either a final action or a notice of allowance, but before payment of the issue fee. Petition hereby is made for consideration of this Statement and the required certification is indicated below.

(1) ____ Enclosed is a check covering the fee set forth in 37 C.F.R. 1.17(i)(1), or


4. Certification (if applicable)

(a) ____ The undersigned hereby certifies that each item of information contained in this Statement was cited in a communication from a foreign patent office in a counterpart foreign application not more than 3 months prior to the filing of this Statement.

(b) ____ The undersigned hereby certifies that no item of information contained in this Statement was cited in a communication from a foreign patent office in a counterpart foreign application or, to the undersigned's knowledge after making reasonable inquiry, was known to any individual designated in 37 C.F.R. 1.56(c) more than 3 months prior to the filing of this Statement.

Respectfully Submitted,
AMIN & TUROCY, LLP

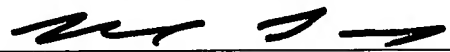
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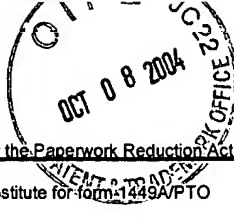
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I hereby certify that this correspondence (along with any paper referenced as being attached or enclosed) is being deposited on the below date with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to Commissioner for Patents, P.O. Box 1450. Alexandria, VA 22313-1450.

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DISCLOSURE STATEMENT
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(Use as many sheets as necessary)

Sheet 1 of 7

Complete if Known

Application Number	10/779,295
Filing Date	02/13/04
First Named Inventor	Joshua T. Goodman
Art Unit	2134
Examiner Name	Unknown
Attorney Docket Number	MS306896.01/MSFTP560US

U. S. PATENT DOCUMENTS

Examiner Initials*	Cite No. ¹	Document Number	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		Number-Kind Code ² (if known)			
		US- 6,779,021	08-17-2004	Bates et al.	
		US- 6,592,627	07-15-2003	Agrawal et al.	
		US- 6,728,690	04-27-2004	Meek et al.	
		US- 6,424,997	07-23-2002	Buskirk Jr. et al.	
		US- 6,684,201	01-27-2004	Brill	
		US- 6,633,855	10-14-2003	Auvenshine	
		US- 6,023,723	02-08-2000	McCormick et al.	
		US- 6,003,027	12-14-1999	Prager	
		US- 6,434,600	08-13-2002	Waite et al.	
		US- 5,835,087	11-10-1998	Herz et al.	
		US- 6,370,526	04-09-2002	Agrawal et al.	
		US- 6,327,617	12-04-2001	Fawcett	
		US- 6,308,273	10-23-2001	Goertzel et al.	
		US- 5,704,017	12-30-1997	Heckerman et al.	
		US- 5,905,859	05-18-1999	Holloway et al.	
		US- 5,805,801	09-08-1998	Holloway et al.	
		US- 2004/0139165	07-15-2004	McMillan et al.	
		US- 2004/0139160	07-15-2004	Wallace et al.	

FOREIGN PATENT DOCUMENTS


Examiner Initials*	Cite No. ¹	Foreign Patent Document	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages: or Relevant Figures Appear	T ⁶
		Country Code ³ Number ⁴ Kind Code ⁵ (if known)				

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2

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First Named Inventor

Joshua T. Goodman

Art Unit

2134

Examiner Name

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Attorney Docket Number

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		Country Code ³ Number ⁴ Kind Code ⁵ (if known)				
		EP 413 537	02-20-1991	Scannell et al.		
		EP 720 333	07-03-1996	Canale et al.		
		WO 96/35994	11-14-1996	Finney et al.		

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Substitute for form 1449/PTO SUPPLEMENTAL INFORMATION DISCLOSURE STATEMENT BY APPLICANT (Use as many sheets as necessary)			Complete if Known		
			Application Number	10/779,295	
			Filing Date	2/13/2004	
			First Named Inventor	Joshua T. Goodman	
			Art Unit	2134	
			Examiner Name	Unknown	
Sheet	3	of	7	Attorney Docket Number	MS306896.01/MSFTP560US

NON PATENT LITERATURE DOCUMENTS				
Examiner Initials*	Cite No. ¹	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T ²	
		CYNTHIA DWORK, et al.; "Pricing Via Processing or Combatting Junk Mail"; Presented at Crypto '92; pp. 1-11.		
		THORSTEN JOACHIMS; "Text Categorization with Support Vector Machines: Learning with Many Relevant Features"; LS-8 Report 23, November 1997, 18 pages.		
		DAPHNE KOLLER, et al.; "Hierarchically Classifying Documents Using Very Few Words"; In ICML-97: Proceedings of the Fourteenth International Conference on Machine Learning; San Francisco, CA: Morgan Kaufmann 1997; 9 pages.		
		ELLEN SPERTUS; "Smokey: Automatic Recognition of Hostile Messages"; Proceedings of the Conference on Innovative Applications in Artificial Intelligence (IAAI), 1997, 8 pages.		
		HINRICH SCHUTZE, et al.; "A Comparison of Classifiers and Document Representations for the Routing Problem"; Proceedings of the 18th Annual International ACM SIGIR Conference on Research and Development in Information Retrieval, Seattle, WA, July 9-13, 1995; pp. 229-237.		
		YIMING YANG, et al.; "A Comparative Study on Feature Selection in Text Categorization"; School of Computer Science, Carnegie Mellon University, Pittsburgh, PA, and Verity, Inc., Sunnyvale, CA; 9 pages.		
		YIMING YANG, et al.; "A Comparative Study on Feature Selection in Text Categorization"; School of Computer Science, Carnegie Mellon University, Pittsburgh, PA, and Verity, Inc., Sunnyvale, CA; 9 pages.		
		DAVID D. LEWIS, et al.; "A Comparison of Two Learning Algorithms for Text Categorization"; Third Annual Symposium on Document Analysis and Information Retrieval; April 11-13, 1994; pp. 81-93.		
		MEHRAN SAHAMI; "Learning Limited Dependence Bayesian Classifiers"; In KDD-96: Proceedings of the Second International Conference on Knowledge Discovery and Data Mining; AAAI Press, 1996; Menlo Park, CA; pp. 335-338.		
		WILLIAM W. COHEN; "Learning Rules that Classify E-Mail"; In the Proceedings of the 1996 AAAI Spring Symposium on Machine Learning in Information Access. Downloaded from William Cohen's web page: http://www.research.att.com/nwcohen/pubs.html .		

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		MAKOTO IWAYAMA, et al., Hierarchical Bayesian Clustering for Automatic Text Classification, Natural Language, 1995, pp. 1322-1327.		
		DAVID D. LEWIS, An Evaluation of Phrasal and Clustered Representations on a Text Categorization Task, 15th Annual International SIGIR '92, Denmark 1992, pp. 37-50.		
		DAPHNE KOLLER, et al, Toward Optimal Feature Selection, Machine Learning Proc. of the Thirteenth International Conference, Morgan Kaufmann, 1996, 9 pages.		
		DAVID DOLAN LEWIS, Representation and Learning in Information Retrieval, University of Massachusetts, 1992.		
		TOM MITCHELL, Machine Learning, Carnegie Mellon University, Bayesian Learning, Chapter 6, pp. 180-184.		
		Y. H. Li, et al., Classification of Text Documents, The Computer Journal, Vol. 41, No. 8, 1998; pp. 537-546.		
		JUHA TAKKINEN, et al., CAFE: A Conceptual Model for Managing Information in Electronic Mail, Laboratory for Intelligent Information Systems, Department of Computer and Information Science, Linköping University, Sweden, Conference on System Sciences, 1998 IEEE.		
		JACOB PALME, et al., Issues When Designing Filters In Messaging Systems, Computer Communications, 1996, pp. 95-101, Stockholm, Sweden.		
		RICHARD B. SEGAL, et al., SwiftFile: An Intelligent Assistant for Organizing E-Mail, In Proceedings of the Third International Conference on Autonomous Agents, May 1999, 7 pages.		
		MEHRAN SAHAMI, et al., A Bayesian Approach to Filtering Junk E-Mail, AAAI Workshop on Learning for Text Categorization, July 1998, 8 pages, Madison, Wisconsin, USA.		

Examiner Signature		Date Considered	
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				Filing Date	2/13/2004
				First Named Inventor	Joshua T. Goodman
				Art Unit	2134
				Examiner Name	Unknown
Sheet	5	of	7	Attorney Docket Number	MS306896.01/MSFTP560US

NON PATENT LITERATURE DOCUMENTS			
Examiner Initials*	Cite No. ¹	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T ²
		DAVID MADIGAN, Statistics and The War on Spam, Rutgers University, pp. 1-13, 2003.	
		PADRAIG CUNNINGHAM, et al., A Case-Based Approach to Spam Filtering that Can Track Concept Drift, In The ICCBR'03 Workshop on Long-Lived CBR Systems, June 2003, 9 pages, Trondheim, Norway.	
		MARK ROSEN, E-mail Classification in the Haystack Framework, Massachusetts Institute of Technology, February, 2003, 103 pages.	
		THORSTEN JOACHIMS, Transductive Inference for Text Classification Using Support Vector Machines, In Proceedings of the 16th International Conference on Machine Learning, 1999, pp.200-209, San Francisco, California, USA.	
		JOHN WONG, Preventing Spams and Relays, Linux Journal, December 1998, 6 pages, Vol. 1998 Issue 56es, Specialized Systems Consultants, Inc.	
		MENG WENG WONG, SPF Overview, Linux Journal, April 2004, 6 pages, Vol. 2004 Issue 120, Specialized Systems Consultants, Inc.	
		Stop, in the Name of Spam, Communications of the ACM, November 1998, pp.11-14, Vol. 41 No. 11.	
		ERIC ALLMAN, Spam, Spam, Spam, Spam, Spam, the FTC, and Spam, Queue, September 2003, pp. 62-69, Vol. 1 Issue 6.	
		TOM FAWCETT, "In vivo" Spam Filtering: A Challenge Problem for KDD, SIGKDD Explorations, December 2003, pp. 140-148, Vol. 5 Issue 2.	
		J.D.M. RENNIE. ifile: An Application of Machine Learning to E-Mail Filtering, Proceedings of the KDD-2000 Workshop on Text Mining, Sixth ACM SIGKDD International Conference on Knowledge Discovery and Data Mining, 2000. 6 pages.	

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		S. ARGAMON, et al., Routing documents according to style, In First International Workshop on Innovative Information Systems, 1998, 8 pages.	
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		FABRIZIO SEBASTIANI, Machine Learning in Automated Text Categorization, ACM Computing Surveys, 2002, pp. 1-47, Vol. 34-Issue 1.	
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		CORMAC O'BRIEN, et al., Spam Filters: Bayes vs. Chi-squared; Letters vs. Words, Proceedings of the 1st international symposium on Information and communication technologies, 2003, pp.291-296, Dublin, Ireland.	
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		LORRIE FAITH CRANOR, et al., Spam!, Communications of the ACM, 1998, pp. 74-83, Vol. 41-No. 8.	

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		P.Y. SIMARD, et al., Using Character Recognition and Segmentation to Tell Computer from Humans, International Conference on Document Analysis and Recognition (ICDAR), IEEE Computer Society, 2000, pp. 418-423.	
		S. LI et al., Secure Human-Computer Identification against Peeping: A Survey, Microsoft Research, 2003, 53 pages.	
		D.A. TURNER et al., Controlling Spam through Lightweight Currency, In Proc. of the Hawaii International Conference on Computer Sciences, January 2004, 9 pages.	

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*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

¹ Applicant's unique citation designation number (optional). ² Applicant is to place a check mark here if English language Translation is attached.

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